

FORM PTO-1449

AUG 16 2004

ATTY. DOCKET NO.  
01CON294P-CIPSERIAL NO.  
09/663,002LIST OF PATENTS AND OTHER ITEMS  
FOR APPLICANT'S INFORMATION  
DISCLOSURE STATEMENT

(Use several sheets if necessary)

APPLICANTS:  
Su, et al.FILING DATE:  
Sept. 15, 2000GROUP ART:  
2655

## U.S. PATENT DOCUMENTS

| Exam.<br>Initials |    | DOCUMENT<br>NUMBER | DATE           | NAME                | CLASS | SUB<br>CLASS | FILING DATE            |
|-------------------|----|--------------------|----------------|---------------------|-------|--------------|------------------------|
| MJ                | AA | US2002/0023395 A1  | Sept. 20, 2001 | Su et al.           |       |              | Sept. 18, 1998         |
| MJ                | AB | 5,911,128          | June 8, 1999   | Andrew P.<br>DeJaco |       |              | Mar. 11, 1997          |
|                   |    |                    |                |                     |       |              | RECEIVED               |
|                   |    |                    |                |                     |       |              | AUG 17 2004            |
|                   |    |                    |                |                     |       |              | Technology Center 2600 |

## FOREIGN PATENT DOCUMENT

| Exam.<br>Initials |    | DOCUMENT NUMBER | PUBLICATION<br>DATE | COUNTRY OR<br>PATENT OFFICE | CLAS<br>S | SUB<br>CLASS | TRANSLATION |    |
|-------------------|----|-----------------|---------------------|-----------------------------|-----------|--------------|-------------|----|
|                   |    |                 |                     |                             |           |              | YES         | NO |
|                   | BA |                 |                     |                             |           |              |             |    |
|                   | BB |                 |                     |                             |           |              |             |    |
|                   | BC |                 |                     |                             |           |              |             |    |

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

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| CA |  |
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EXAMINER: *M. M. Gersbach*

DATE CONSIDERED: 8/19/05

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| FORM PTO-1449  | SERIAL NO.<br>09/663,002              | CASE NO. 5 2000<br>10508/18             |
| <b>LIST OF PATENTS AND PUBLICATIONS FOR<br/>APPLICANT'S INFORMATION DISCLOSURE<br/>STATEMENT</b> | FILING DATE<br>September 15, 2000     | TECHNICAL CENTER 2600<br>To Be Assigned |
| (use several sheets if necessary)  | APPLICANT(S): Huan-Yu Su and Yang Gao |   |

**REFERENCE DESIGNATION . U.S. PATENT DOCUMENTS**

| EXAMINER INITIAL | DOCUMENT NUMBER   | DATE     | NAME           | CLASS/ SUBCLASS | FILING DATE |
|------------------|-------------------|----------|----------------|-----------------|-------------|
| MJ               | A1 U.S. 4,969,192 | 11/06/90 | Chen et al.    | 704/222         | —           |
|                  | A2 U.S. 5,657,420 | 08/12/97 | Jacobs et al.  | 395/2.32        | 12/23/94    |
|                  | A3 U.S. 5,732,188 | 03/24/98 | Moriya         | 704/219         | —           |
|                  | A4 U.S. 5,732,389 | 03/24/98 | Kroon et al.   | 704/223         | —           |
|                  | A5 U.S. 5,778,338 | 07/07/98 | Jacobs et al.  | 704/223         | —           |
|                  | A6 U.S. 6,006,177 | 12/21/99 | Funaki         | 704/220         | 04/18/96    |
| O                | A7 U.S. 6,052,661 | 04/18/00 | Yamaura et al. | 704/222         | 12/31/96    |
|                  | A8 U.S. 6,067,518 | 05/23/00 | Morii          | 704/262         | 04/14/98    |
| MB               | A9 U.S. 6,073,092 | 06/06/00 | Kwon           | 704/219         | 06/26/97    |
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## **FOREIGN PATENT DOCUMENTS**

| FOREIGN PARENT DOCUMENTS |  |                    |      |         |                    |                            |
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| EXAMINER<br>INITIAL      |  | DOCUMENT<br>NUMBER | DATE | COUNTRY | CLASS/<br>SUBCLASS | TRANSLATION<br>YES      NO |
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| EXAMINER<br>INITIAL | OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.) |  |
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| <i>BD</i>           | A10  | Lawrence R. Rabiner and Ronald W. Schafer, Digital Processing Of Speech Signals, pp. 1-37 and 396-461. <i>No DCM</i>   |
|                     | A11  | W. Bastiaan Kleijn and Peter Kroon, "The RCELP Speech-Coding Algorithm," Vol. 5, No. 5, Sept.-Oct. 1994, pp. 39/573 - 47/581. <i>No DCM</i>  |
|                     | A12  | C. Laflamme, J-P. Adoul, H.Y. Su, and S. Morissette, "On Reducing Computational Complexity of Codebook Search in CELP Coder Through the Use of Algebraic Codes," 1990, pp. 177-80.   |
|                     | A13  | Chih-Chung Kuo, Fu-Rong Jean, and Hsiao-Chuan Wang, "Speech Classification Embedded in Adaptive Codebook Search for Low Bit-Rate CELP Coding," IEEE Transactions on Speech and Audio Processing, Vol. 3, No. 1, January 1995, pp. 1-5. <i>No DCM</i> |
| <i>BD</i>           | A14  | Erdal Paksoy, Alan McCree, and Vish Viswanathan, "A Variable-Rate Multimodal Speech Coder with Gain-Matched Analysis-By-Synthesis," 1997, pp. 751-754. <i>No DCM</i>   |

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| EXAMINER<br><i>M.M. Green</i> | DATE CONSIDERED<br><i>3/2/03</i> |
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| FORM PTO-1449  | SERIAL NO.<br>09/663,002          | CASE NO.<br>10508/18              |
| LIST OF PATENTS AND PUBLICATIONS FOR<br>APPLICANT'S INFORMATION DISCLOSURE<br>STATEMENT<br>(use several sheets if necessary) | FILING DATE<br>September 15, 2000 | GROUP ART UNIT<br>To Be Assigned  |
| DEC 13 2000  |                                   | APPLICANT(S): Huan-Yu Su and Yang |

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| EXAMINER INITIAL | OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.) |  | DEC 15 2000            |
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| M                | A15  | Gerhard Schroeder, International Telecommunication Union Telecommunications Standardization Sector," June 1995, pp. i-iv, 1-142. <i>NO Date</i>  | Technology Center 2600 |
|                  | A16  | "Digital Cellular Telecommunications System; Comfort Noise Aspects for Enhanced Full Rate (EFR) Speech Traffic Channels (GSM 06.62), "May 1996, pp. 1-16. <i>NO Date</i>   |                        |
|                  | A17  | W.B. Kleijn and K.K. Paliwal (Editors), Speech Coding and Synthesis, Elsevier Science B.V.; Kroon and W.B. Kleijn (Authors), Chapter 3: "Linear-Prediction Based on Analysis-by-Synthesis Coding," 1995, pp. 81-113. <i>NO month or Date</i>   |                        |
|                  | A18  | W.B. Kleijn and K.K. Paliwal (Editors), Speech Coding and Synthesis, Elsevier Science B.V.; A. Das, E. Paskoy and A. Gersho (Authors), Chapter 7: "Multimode and Variable-Rate Coding of Speech," 1995, pp. 257-288. <i>NO month or Date</i>   |                        |
|                  | A19  | B.S. Atal, V. Cuperman, and A. Gersho (Editors), Speech and Audio Coding for Wireless and Network Applications, Kluwer Academic Publishers; T. Taniguchi, Y. Tanaka and Y. Ohta (Authors), Chapter 27: "Structured Stochastic Codebook and Codebook Adaptation for CELP," 1993, pp. 217-224. <i>NO month or Date</i> |                        |
|                  | A20  | W. Bastiaan Kleijn and Peter Kroon, The RCELP Speech-Coding Algorithm, Vol. 5, No. 5, Sept.-Oct. 1994, pp. 39/573 - 47/581. <i>NO Date</i>   |                        |
|                  | A21  | C. Laflamme, J-P. Adoul, H.Y. Su, and S. Morissette, On Reducing Computational Complexity of Codebook Search in CELP Coder Through the Use of Algebraic Codes, 1990, pp. 177-180. <i>NO month or Date</i>  |                        |
|                  | A22  | Chih-Chung Kuo, Fu-rong Jean, and Hsiao-Chuan Wang, Speech Classification Embedded in Adaptive Codebook Search for Low Bit-Rate CELP Coding, IEEE Transactions on Speech and Audio Processing, Vol. 3, No. 1, January 1995, pp. 1-5. <i>NO Date</i>  |                        |
|                  | A23  | Erdal Paksoy, Alan McCree, and Vish Viswanathan, A Variable-Rate Multimodal Speech Coder with Gain-Matched Analysis-By-Synthesis, 1997, pp. 751-754. <i>NO month or Date</i>   |                        |
|                  | A24  | Gerhard Schroeder, International Telecommunication Union Telecommunications Standardization Sector, June 1995, pp. i-iv, 1-42. <i>NO month or Date</i>   |                        |
|                  | A25  | Digital Cellular Telecommunications System; Comfort Noise Aspects for Enhanced Full Rate (EFR) Speech Traffic Channels (GSM 06.62), May 1996, pp. 1-16. <i>NO Date</i>   |                        |
|                  | A26  | W.B. Kleijn and K.K. Paliwal (Editors), Speech Coding and Synthesis, Elsevier Science B.V.; Kroon and W.B. Kleijn (Authors), Chapter 3, Linear-Prediction Based on Analysis-by-Synthesis Coding, 1995, pp. 81-113. <i>NO month or Date</i>   |                        |
|                  | A27  | W.B. Kleijn and K.K. Paliwal (Editors), Speech Coding and Synthesis, Elsevier Science B.V.; A. Das, E. Paskoy and A. Gersho (Authors), Chapter 7, Multimode and Variable-Rate Coding of Speech, 1995, pp. 257-288. <i>NO month or Date</i>   |                        |
|                  | A28  | B.S. Atal, V. Cuperman, and A. Gersho (Editors), Speech and Audio Coding for Wireless and Network Applications, Kluwer Academic Publishers; T. Taniguchi, Y. Tanaka and Y. Ohta (Authors), Chapter 27, Structured Stochastic Codebook Adaptation for CELP, 1993, pp. 217-224. <i>NO month or Date</i>                |                        |
| M                | A29  | B.S. Atal, V. Cuperman, and A. Gersho (Editors), Advances in Speech Coding, Kluwer Academic Publishers; I.A. Gerson and M.A. Jasius (Authors), Chapter 7, Vector Sum Excited Linear Prediction (VSELP), pp. 69-79. <i>NO Date</i>  |                        |

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| EXAMINER <i>M Alpsoy</i> | DATE CONSIDERED 5/24/07 |
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| FORM PTO-1449  | DEC 13 2000<br>P-1449 | SERIAL NO.<br>09/663,002          | CASE NO.<br>10508/18             |
| LIST OF PATENTS AND PUBLICATIONS FOR<br>APPLICANT'S INFORMATION DISCLOSURE<br>STATEMENT<br>(use several sheets if necessary) |                       | FILING DATE<br>September 15, 2000 | GROUP ART UNIT<br>To Be Assigned |
| APPLICANT(S): Huan-Yu Su and Yang Gao  |                       |                                   |                                  |

| EXAMINER<br>INITIAL | OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.) |   |  |
|---------------------|--|---|--|
| M                   | A30  | B.S. Atal, V. Cuperman, and A. Gersho (Editors), Advances in Speech Coding, Kluwer Academic Publishers; J.P. Campbell, Jr., T.E. Tremain, and V.C. Welch (Authors), Chapter 12, The DOD 4.8 KBPS Standard (Proposed Federal Standard 1016), 1999, pp. 121-133. <i>Do not consider</i> |  |
| M                   | A31  | B.S. Atal, V. Cuperman, and A. Gersho (Editors), Advances in Speech Coding, Kluwer Academic Publishers; R.A. Salami (Author), Chapter 14, Binary Pulse Excitation: A Novel Approach to Low Complexity CELP Coding, 1991, pp. 145-157. <i>Do not consider</i>                          |  |

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| EXAMINER <i>M. Gao</i> | DATE CONSIDERED <i>5/24/04</i> |
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| FORM PTO-1449<br>PATENT & TRADEMARK OFFICE   | SERIAL NO.<br>09/663,002      | CASE NO.<br>10508-18   |
| LIST OF PATENTS AND PUBLICATIONS FOR<br>APPLICANT'S INFORMATION DISCLOSURE<br>STATEMENT<br>(use several sheets if necessary) | FILING DATE<br>Sept. 15, 2000 | GROUP ART UNIT<br>2641 |
| APPLICANT(S): Huan-Yu Su et al.  |                               |                        |

REFERENCE DESIGNATION                    U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE     | COUNTRY | CLASS/ SUBCLASS | TRANSLATION YES NO |
|------------------|-----------------|----------|---------|-----------------|--------------------|
| Hy               | B1 92/22891     | 12/23/92 | WIPO    | _____           |                    |
| Hy               | B2 95/28824     | 11/02/95 | WIPO    | _____           | /                  |
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| EXAMINER INITIAL | OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.) |   |
|------------------|--|---|
| Hy               | B3   | Kazunori Ozawa and Taskashi Araseki, "Multipulse Excited Speech Coding Utilizing Pitch Information at Rates Between 9.6 and 4.8 kbits/s", Systems and Computers in Japan, Vol. 21 No. 13, 1990 <i>no mon or Day</i>   |
| Hy               | B4   | S. Ghaemmaghami and M. Deriche, "A New Approach to Efficient Interpolative Determination of Pitch Contour Using Temporal Decomposition", IEEE Proceedings of Digital Processing Application, 1996, pp. 125-130 <i>no mon or Day</i>                               |
| Hy               | B5   | Roch Lefebvre and Claude LaFlamme, "Shaping Coding Noise With Frequency-Domain Companding", IEEE publication, 1997, pp 61-62 <i>no mon or Day</i>   |
| Hy               | B6   | W. Bastiaan Klejian, Ravi P. Ramachandran and Peter Kroon, "Generalized Analysis-By-Synthesis Coding and Its Application To Pitch Prediction", IEEE, 1992, <i>no mon or Day</i> pp 1-337 - 1-340  |
| M                | B7   | W. Bastiaan Klejian, Ravi P. Ramachandran and Peter Kroon, "Interpolation of the Pitch-Predictor Parameters in Analysis-by-Synthesis Speech Coders", IEEE Transactions on Speech and Audio Processing, Vol. 2, No. 1, Part 1, 1994, pp 42-54 <i>no mon or Day</i> |
|                  | B8   |   |

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| EXAMINER <i>Mepal</i> | DATE CONSIDERED <i>12/2/03</i> |
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